

## **RFP 004-07-SED**

### **Questions and Answers**

1. RFP Page 2, Paragraph 1.3 DESCRIPTION indicates that there is pending legislation that will require the Division to administer the *principle manager* and *originator* registration examinations. How likely is it that the legislation will be approved? When does the Division anticipate that the legislation will be passed?

When does the Division anticipate pending legislation 2007 (HB 1717 § 6: Ind. Code § 23-2-5-5(d)) to pass or become effective? If the legislation does not pass, how will this affect the contract between the awarded vendor and the Division?

*House Bill 1717 passed the Indiana General Assembly on April 29, 2007 and will take effect July 1, 2007, at which time the Division will require initial applicants for registration as a principal manager or an originator to pass a registration examination. The vendor may access a copy of the House Enrolled Act 1717 on the Indiana General Assembly's website: <http://www.in.gov/legislative/bills/2007/PDF/HE/HE1717.1.pdf>.*

2. Are relevant laws/rules updated on a predictable basis? If so, can the Division describe a typical time frame?

*The Indiana Loan Broker Act and the Loan Broker Regulations are typically updated on an annual basis.*

3. Will the content areas/topics identified within the RFP be applicable to both examinations?

*The content areas/topics identified within the RFP will apply both to an applicant for registration as a principal manager and an originator. A principal manager will, however be required to have a more extensive knowledge of each subject area addressed in the RFP.*

4. Has the State already conducted a job analysis? If not, does it have a preference as to how it might be conducted?

*A job analysis identifying the topics or depth of content appropriate for the examination for a principal manager versus an originator has not been conducted. At this time, it has been determined that a principal manager will be required to have a more in-depth and extensive knowledge of each subject area addressed in the registration examination. If it is determined that a job analysis must be conducted it will be done after the vendor has been awarded the contract and during the time in which the pool of examination questions is being developed.*

5. Please describe "summary of attendance" as identified by the Division for monthly reporting purposes. RFP Section 1.3(5h), Systems Design.

*By "summary of attendance" the Division means a report identifying the number of total individuals and the name of each individual that registered to take the examination, attended the examination, completed the examination, and passed the examination.*

6. Please describe the Division's intentions regarding the "printing of registration applications". RFP Section 1.3 (7), Systems Design.

*Upon reconsideration the Division has removed this requirement.*

7. RFP Page 2, Paragraph 1.3(3) in SYSTEM DESIGN requires the production and distribution of a Candidate Information Handbook. Is internet distribution of the handbook sufficient or does the Division require paper copies of the handbook?

***Internet distribution of the Candidate Information Handbook would be sufficient, but the vendor must have the ability to distribute paper copies of the handbook if requested.***

8. RFP Page 2, Paragraph 1.3(5)(a) in SYSTEM DESIGN requires at least 5 testing centers with at least 1 center offering daily testing (M-F) and have the capacity to hold at least 10 examinees in a session. If the vendor has more than 5 centers that meet all of these requirements, can additional centers with less testing stations or a reduced schedule be used to provide greater appointment availability for candidates?

Is it the Division's desire to have testing available on a continuous basis versus a set schedule of testing dates?

***The selected vendor may offer the examinations on a set schedule as opposed to a continuous schedule, as long as the examinations are provided on a frequent and reasonable basis.***

9. RFP Page 3, Paragraph 1.3(5)(e) in SYSTEM DESIGN requires immediate score reports following exam administration. Are photos required on the score reports?

***No, score reports will not be required to bear a photograph of the examinee. The vendor is however required to verify the individual's identification prior to taking the examination by checking photo identification.***

10. RFP Page 3, Paragraph 1.3(5)(f) & Paragraph 1.3(7) in SYSTEM DESIGN requires that the vendor "provide to the Division candidate score reports ...". Does the Division require actual score reports or simply a results file with each candidate's score and pass/fail status?

***The selected vendor must provide to the Division a score report that identifies the candidate that completed the examination, the candidate's score, and their pass/fail status. A complete and comprehensive score report is not required, but must be made available upon request of the Division***

11. RFP Page 3, Paragraph 1.3(2) in SYSTEM SECURITY indicates that "all data shall remain the property of the Division". Please confirm that examination items and associated statistics remain the property of the vendor.

***The Division will allow the selected vendor to maintain ownership of any examination items and the associated statistics for those items that are not being newly developed on the behalf of or specific to the State of Indiana. The statistics associated with all examination items that are property of the Division, will remain under the ownership of Division as well.***

12. RFP Attachment A p.4-5, item 11. Would the State consider joint ownership of newly written test questions?

***Yes, the Division would consider joint ownership of the newly written test questions.***

13. RFP Page 5, Paragraph 1.8 PRICING indicates that the Division currently has an estimated 3,300 registrants who will be required to pass the examination. What is the timeframe in which these registrants will be required to take the examination?

Per the RFP, the Division has an estimated 3,300 registrants currently registered who will be required to take a registration examination. How soon after contract award and signing does the Division require these candidates to sit for their examination?

***A specific deadline has not been determined, but it is projected that 2/3 of the current registrants will be required to complete the examination by December 31, 2008 and the other 1/3 will be required to complete the examination by December 31, 2009.***

14. RFP Page 5, Paragraph 1.8 PRICING indicates that the Division estimates an average net intake per month of 235 examination applicants (or 2,820 applicants per year). Are these applicants in addition to the registrants identified in question 7? What is the basis for this estimate?

***No, the 235 is included in the 3,300 mentioned on RFP Page 5. The 235 average net intake was determined by averaging the number of new and renewed registrants over the past two years.***

15. RFP Page 5, Paragraph 1.8 PRICING indicates that the Division currently has an estimated 3,300 registrants and an estimated 235 applicants per month who must pass the examination. Can the Division provide any information about the geographic distribution of these candidates for test center planning purposes?

Of the 3,300 registrants currently registered, can the Division provide a list of residential address zip codes provided by these registrants?

***No, the Division is not able to provide any geographical information relating to current registrants.***

16. RFP Page 7, Paragraph 1.12 TYPE AND TERM OF CONTRACT indicates that the term of the contract will begin on July 1, 2007. What is the required date for administration of the first test?

According to the RFP contract start date is July 1, 2007. When does the Division expect examinations to begin?

Per the RFP, the contract start date is tentatively scheduled for 7/1/07. What will be the start date for program implementation (actual testing)?

***The Division's target date to have testing actually begin is July 1, 2007 or as soon as possible thereafter. Prospective vendors should be advised that the ability to initiate testing as close as possible to July 1, 2007 will be a factor that is considered by the Division when selecting the vendor.***

17. General: What are the prerequisites, if any, for candidate registration? Will the Division determine eligibility and provide the vendor with a file?

How does the Division plan to establish a candidate's eligibility to test and inform the contractor of this? (For example, will candidates receive a course completion certificate to be presented at the testing center?) RFP Section 2.3.7, Pricing and Charges

RFP p. 6, 5<sup>th</sup> bullet point. Vendors are asked to verify the "examination candidate's application to take the registration examination." Is the Division requiring the selected vendor to receive and review authorization files for eligible candidates, or does the Division require the selected vendor to perform application review for candidates prior to exam registration?

***To clarify, the selected vendor must register, verify candidate's identity, and accept payment from a candidate that desires to take the registration examination. The applicant for registration as a principal manager or an originator may register and take the registration examination at any time before or during the processing of their application. The individual is not required to obtain authorization from the Division to take the registration examination. The individual will, however be made aware that a certificate of registration will not be issued to the individual, until the individual has successfully passed the registration examination.***

18. Regarding scoring criteria for price, how will points be awarded to each responding vendor?

***The Division will not weigh each of the individual factors outlined by the RFP to be considered by the vendor when determining cost. The Division will take into consideration the reasonableness of the per participant cost.***

19. Will the Division recommend or identify subject matter experts (SMEs) to work with the awarded vendor for test question review?

***The Division is currently considering the creation of a an Advisory Committee, comprised of regulator and industry experts to advise and aid in the development of the pool of questions for the registration examination. While considering the creation of a committee, the Division is evaluating such a committee's ability to complete the task within the Division tight time constraints.***

20. RFP p.3, item (i). Vendors are asked to "provide for candidate review of the loan broker examination in accordance with the guidelines mutually agreed upon by the Division and vendor." Could the Division please clarify what is meant by "candidate review?" What exactly does this entail? What is required of the awarded vendor to facilitate this candidate review?

***In the Candidate Review, the vendor will be required to provide to the candidate information acknowledging whether the individual passed or failed the examination and their examination score.***